

J1048 U.S. PTO

Assistant Commissioner for Patents
BOX PATENT APPLICATION
Washington, DC 20231

12-20-01
NON-PROVISIONAL
UTILITY PATENT APPLICATION
TRANSMITTAL - 37 CFR 1.53(b)

A
Box 1 Seq.
[] Duplicate
(check, if applicable)

Attorney Docket No. 053662-5002-01
First Named Inventor: Redei
Express Mail Label No. EL719362748US
Total Pages of Transmittal Form: 2

JCS555 U.S. PTO
10/02335
12/17/01

Transmitted herewith for filing is the non-provisional utility patent application entitled:

COMPOSITIONS AND METHODS USEFUL FOR TREATMENT OF
DEPRESSIVE DISORDER BASED ON AN ANIMAL MODEL

which is:

- an [] Original; or
a [] Continuation, [] Divisional, or [x] Continuation-in-part (CIP)
of prior Application No. 09/590,837 filed June 9, 2000.
Anticipated Group/Art Unit: _____ or Class _____, Subclass _____.

Enclosed are:

- [X] Specification (including Abstract) and claims: 53 pages.
- [] Application Data Sheet.
- [X] Newly unexecuted Declaration (original/copy).
- [] Copy of Declaration from prior application.
- [] Separate Power of Attorney (including 37 CFR 3.73(b) statement, if applicable).
- [X] 12 sheets of drawings (formal) plus one copy.
- [] Microfiche computer program (Appendix).
- [X] Nucleotide and/or Amino Acid Sequence Submission, including:
 - [X] Computer readable copy [X] Paper Copy [X] Verified Statement.
- [] Under PTO-1595 Cover Sheet, an assignment of the invention
- [X] Name of Assignee: Northwestern University
- [] Certified copy(ies) of _____ Application No(s). _____ filed _____ is/are filed:
 - [] herewith or [] in prior application &@.
- [X] Applicant(s), by its/their undersigned attorney, claim(s) Small Entity Status under 37 C.F.R. §1.27 as [] an Independent Inventor, or [] a Small Business Concern, or [X] a Non-Profit Organization.
- [] Preliminary Amendment.
- [] Information Disclosure Statement, PTO-1449, and cited references.
- [] Request for Nonpublication of Application Under 35 U.S.C. §122(b)
- [X] Other: copy of 2 month extension of time in the parent Patent Application 09/590,837.

The filing fee is calculated as follows:

			SMALL ENTITY		LARGE ENTITY	
CLAIMS	NO. FILED	NO. EXTRA	BASIC FEE: \$370		BASIC FEE: \$740	
Total	63-20 =	43	X9	\$387.00	OR	X18
Independent	12- 3=	9	X42	\$378.00	OR	X84
[] Multiple Dependent Claims Present			\$140	\$	OR	\$280
			TOTAL	\$ 1135.00	OR	TOTAL

- [] The Commissioner is not authorized to charge the filing fee at this time as we elect to defer payment of the entire filing fee until receipt of a Notice to File Missing Parts.
- [X] A check in the amount of \$1135.00 to cover the filing fee is enclosed.
- [X] The Commissioner is hereby authorized to charge and/or credit **Deposit Account No. 50-0310 (Billing No. 053662-5002-01)** as noted below. A duplicate copy of this sheet is enclosed.
- [X] Any overpayments or deficiencies in the above-calculated fee.
- [] Filing fee in the amount of \$ _____ as calculated above.
- [X] Any additional fees required under 37 C.F.R. § 1.16 and § 1.17.
- [X] In the event that a Petition for Extension of Time is required during the prosecution of this application, but not submitted, please charge any extension fee under 37 C.F.R. § 1.136(a) to our Deposit Account noted above.

CORRESPONDENCE ADDRESS:

December 17, 2001
(Date)

By:

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KD/kck
Enclosures

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re: Patent Application of : Group Art Unit: NOT YET
Redei, *et al.* : ASSIGNED
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Appln. No: NOT YET ASSIGNED : Examiner: NOT YET ASSIGNED
:
Filed: December 17, 2001 :
:
Title: COMPOSITIONS AND METHODS : Attorney Docket
USEFUL FOR TREATMENT OF : No. 053662-5002-01
DEPRESSIVE DISORDER BASED ON :
AN ANIMAL MODEL :
:

**STATEMENT TO SUPPORT FILING AND SUBMISSION
IN ACCORDANCE WITH 37 CFR §§ 1.821 THROUGH 1.825**

- (X) I hereby state, in accordance with the requirements of 37 C.F.R. §1.821(f), that the contents of the paper and computer readable copies of the Sequence Listing, submitted in accordance with 37 C.F.R. §1.821(c) and (e), respectively are the same.
- () I hereby state that the submission filed in accordance with 37 C.F.R. §1.821(g) does not include new matter.
- () I hereby state that the submission filed in accordance with 37 C.F.R. §1.821(h) does not include new matter or go beyond the disclosure in the international application as filed.
- () I hereby state that the amendments, made in accordance with 37 C.F.R. §1.825(a), included in the initial/substitute sheet(s) of the Sequence Listing are supported in the application, as filed, at Figure 10. I hereby state that the substitute sheets(s) of the Sequence Listing do not include new matter.
- () I hereby state that the substitute copy of the computer readable form, submitted in accordance with 37 C.F.R. §1.825(b), is the same as the amended Sequence Listing.

- () I hereby state that the substitute copy of the computer readable form, submitted in accordance with 37 C.F.R. §1.825(d), contains identical data to that originally filed.

Respectfully submitted,

Redei, et al.

December 17, 2001
(Date)

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Enclosures

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